

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
14857

In Re Application Of: Shuhua Guo, et al.

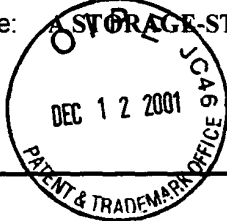
Serial No.  
09/931,846

Filing Date  
August 17, 2001

Examiner  
Unassigned

Group Art Unit  
1755

Title: STORAGE-STABLE MODIFIED ASPHALT COMPOSITION AND ITS PREPARATION PROCESS



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

14857

In Re Application Of: Shuhua Guo, et al.

DEC 12 2001

Serial No.

09/931,846

Filing Date

August 17, 2001

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Unassigned

Group Art Unit

1755

Title: A STORAGE-STABLE MODIFIED ASPHALT COMPOSITION AND ITS PREPARATION PROCESS

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013/SSMP as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on October 24, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

\_\_\_\_\_  
Signature of Person Mailing Correspondence

Mishelle Mustafa  
Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

Dated: October 24, 2001

Peter I. Bernstein  
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PATENTS

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Shuhua Guo, et al.

**Examiner:** Unassigned

**Serial No:** 09/931,846

**Art Unit:** 1755

**Filed:** August 17, 2001

**Docket:** 14857

**For:** A STORAGE-STABLE  
MODIFIED ASPHALT COMPOSITION  
AND ITS PREPARATION PROCESS

**Dated:** October 24, 2001

Assistant Commissioner for Patents  
United States Patent and Trademark Office  
Washington, D.C. 20231

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**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. U.S. Patent No. 5,336,705 dated August 9, 1994, issued to Gorbaty, et al.
2. U.S. Patent No. 5,627,225 dated May 6, 1997, issued to Gorbaty, et al.

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on October 24, 2001.

Dated: October 24, 2001

  
Mishelle Mustafa

3. U.S. Patent No. 5,348,994 dated September 20, 1994, issued to Gorbaty, et al.
4. U.S. Patent No. 5,306,750 dated April 26, 1994, issue to Goodrich, et al.
5. U.S. Patent No. 5,331,028 dated July 19, 1994, issued to Goodrich.
6. European Patent No. 0639630A1 dated February 22, 1995.
7. European Patent No. 0639630B1 dated April 1, 1998.
8. Teh Fu Yen, et al. (1994) "Multiple Structural Orders of Asphaltenes", Asphaltenes and Asphalts, I. Developments in Petroleum Science 40 pages 111-123.

Applicants are submitting a copy of the above-cited references. The relevance of the above-identified references has been described in the specification.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,



Peter I. Bernstein

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